



## UNITED STATES PATENT AND TRADEMARK OFFICE

UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND  
DIRECTOR OF THE UNITED STATES PATENT AND TRADEMARK OFFICE

October 27, 2005

OBLON, SPIVAK, MCCLELLAND, MAIER & NEUSTADT, P.C.  
1940 DUKE STREET  
ALEXANDRIA, VA 22314  
US

Dear Sir/Madam,

Your refund request for 10516933 in the amount of \$400.00 has been denied.

Monies were refunded to credit card on 5/20/05.

*Rita White*

Sincerely,

RITA WHITE  
PCT - National  
703 308-9140 x231

PATENT MAINTENANCE  
DIVISION

**OBLON**  
**SPIVAK**

205 JUL 19 2005

**McCLELLAND**

US PATENT & TRADEMARK  
OFFICE

**MAIER**  
**&**  
**NEUSTADT**

P.C.

ATTORNEYS AT LAW

KATHLEEN A. MORSBERGER  
CONTROLLER  
(703) 412-6494  
KMORSBERGER@OBLON.COM

July 12, 2005

UNITED STATES PATENT AND TRADEMARK OFFICE  
2051 Jamieson Avenue, Ste. 300  
Alexandria, VA

Attn: Frank Lebron  
Refund Department

Re: Deposit Account #150030

Dear Mr. Lebron:

Enclosed is a copy of a portion of our deposit account statement of May, 2005. See the highlighted charges on serial number 10/516,933 in the amount of \$400.00 on fee code #1642 and \$360.00 on fee code #1616.

When this application was filed on December 14, 2004, a credit card payment form for American Express in the amount of \$1,910.00 was included with that filing. The search fee in the amount of \$400.00 and the multiple dependent claim fee in the amount of \$360.00 were part of that payment. Therefore, there should not be a charge on our account for additional application fees.

Please review this application and kindly refund \$760.00 to deposit account #150030. Copies of the appropriate paperwork are attached. If you have any questions, please contact Debbie Noel at (703) 412-6296. Thank you for your assistance in this matter.

Sincerely,

OBLON, SPIVAK, McCLELLAND,  
MAIER & NEUSTADT, P.C.

*Debra J. Noel*

Debra J. Noel  
Accounting Department

Enclosures



**United States  
Patent and  
Trademark Office**

MASTER

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**Deposit Account Statement**

**Requested Statement Month:** May 2005  
**Deposit Account Number:** 150030  
**Name:** NORMAN F. OBLON  
**Attention:**  
**Address:** 1940 DUKE STREET  
**City:** ALEXANDRIA  
**State:** VA  
**Zip:** 22314  
**Country:** UNITED STATES OF AMERICA

DATE	SEQ	POSTING REF	ATTORNEY DOCKET NBR	FEE CODE	AMT	BAL
05/02	5	10281958	229950US3PMH	1201	\$800.00	\$12,838.71
05/02	34	PAYMENT		9203	-\$20,000.00	\$32,838.71
05/04	5	10218317	226904US2CON	1253	\$1,020.00	\$31,818.71
05/04	6	09930135	212768US6	1806	\$180.00	\$31,638.71
05/04	103	10240266	228690US0PCT	1251	\$120.00	\$31,518.71
05/04	166	09779834	195128US20	2253	\$510.00	\$31,008.71
05/05	1	10653098	242221US2RD	1201	\$400.00	\$30,608.71
05/05	329	60579242	254038US/KQU	8007	\$20.00	\$30,588.71
05/05	352	10168543	224810US6PCT	1504	\$300.00	\$30,288.71
05/06	2	09874057	209396US2X	1251	\$120.00	\$30,168.71
05/06	2	10792210	248549US2S DIV	1806	\$180.00	\$29,988.71
05/06	3	10792210	248549US2S DIV	1806	\$180.00	\$29,808.71
05/06	5	10415108	255949US2D	1806	\$180.00	\$29,628.71
05/06	6	10532110	271083US96PCT	1631	\$300.00	\$29,328.71
05/06	7	10532110	271083US96PCT	1633	\$200.00	\$29,128.71
05/06	8	10532110	271083US96PCT	1643	\$100.00	\$29,028.71
05/06	9	10532110	271083US96PCT	1681	\$250.00	\$28,778.71
05/06	10	10532110	271083US96PCT	1615	\$9,400.00	\$19,378.71
05/06	10	10471663	255949US2D	1806	\$180.00	\$19,198.71
05/06	11	10532110	271083US96PCT	1453	\$1,500.00	\$17,698.71
05/06	95	60583371	255236US/KQU	8007	\$20.00	\$17,678.71
05/06	97	60606147	258305US/KQU	8007	\$40.00	\$17,638.71
05/10	1	10442960	238012US2	1806	\$180.00	\$17,458.71
05/10	1	10092920	220113USO	1253	\$570.00	\$16,888.71
05/10	174	10526616	270702US-6SEC	1011	\$300.00	\$16,588.71
05/10	175	10526616	270702US-6SEC	1111	\$500.00	\$16,088.71
05/10	176	10526616	270702US-6SEC	1311	\$200.00	\$15,888.71

05/17	351	0111430843	265751CN/TEP/FF	8014	\$25.00	\$30,864.71
05/18	1	10500891	255062US0PCT	1614	-\$86.00	\$30,950.71
05/18	6	10875382	255118US0	1806	\$180.00	\$30,770.71
05/18	7	10948288	259545US0	1806	\$180.00	\$30,590.71
05/18	8	10176547	224477UUS0C0	8001	-\$30.00	\$30,620.71
05/18	12	10524145	264624US0XPCT	1615	-\$100.00	\$30,720.71
05/18	206	11129443	272575US25CONT	1111	\$500.00	\$30,220.71
05/18	207	11129443	272575US25CONT	1311	\$200.00	\$30,020.71
05/18	366	60589563	256011US/KQU	8007	\$20.00	\$30,000.71
05/18	390	29218540	2752376EU251184	8007	\$20.00	\$29,980.71
05/18	429	60642107	264516US/KQU	8007	\$20.00	\$29,960.71
05/18	468	60610957	258964US/KQU	8007	\$20.00	\$29,940.71
05/19	1	09935584	213280US2	1202	\$500.00	\$29,440.71
05/19	6	11110727	271194US2CRL	1202	\$1,300.00	\$28,140.71
05/19	7	09810186	204934US0X	1201	\$400.00	\$27,740.71
05/19	8	09810186	204934US0X	1202	\$350.00	\$27,390.71
05/19	37	11092911	268870US26	1202	\$100.00	\$27,290.71
05/19	40	10502052	255861US0PCT	1615	-\$100.00	\$27,390.71
05/19	41	10502052	255861US0PCT	1615	\$36.00	\$27,354.71
05/19	85	09813751	A1821020-252533	1452	\$390.00	\$26,964.71
05/19	341	0158500848	254429US/KQU	8014	\$25.00	\$26,939.71
05/20	1	10182723	226005US0PCT	1401	\$500.00	\$26,439.71
05/20	1	10612146	239799US2	1201	\$400.00	\$26,039.71
05/20	3	10516935	262883US0XPCT	1642	\$400.00	\$25,639.71
05/20	6	10516934	259783US6PCT	1642	\$400.00	\$25,239.71
05/20	17	10523809	265519US2PCT	1615	\$1,400.00	\$23,839.71
05/20	23	10516933	263117US90PCT	1642	\$400.00	\$23,439.71
05/20	24	10516933	263117US90PCT	1616	\$360.00	\$23,079.71
05/20	34	10498214	254412US0PCT	1615	-\$324.00	\$23,403.71
05/20	41	10612926	239954US2	1806	-\$180.00	\$23,583.71
05/20	251	10885641	250334US/KQU	8007	\$40.00	\$23,543.71
05/23	1	10608028	239523US2	1806	\$180.00	\$23,363.71
05/23	16	10936535	258433US0CONT	1202	\$54.00	\$23,309.71
05/23	135	60662360	268256US/KQU	8007	\$20.00	\$23,289.71
05/23	147	10874371	255032US/KQU	8007	\$80.00	\$23,209.71
05/23	302	10287500	230289US90	8001	\$30.00	\$23,179.71
05/24	3	09457669	5244-0117-2X	1806	\$180.00	\$22,999.71
05/24	4	10933335	258378US2	1202	-\$50.00	\$23,049.71
05/24	5	10921992	257463US90CONT	1806	-\$180.00	\$23,229.71
05/24	12	10759029	246416	9204	-\$130.00	\$23,359.71
05/24	56	11100603	262317US	1203	\$360.00	\$22,999.71
05/24	63	10334831	232563US0XCO	1251	\$120.00	\$22,879.71
05/25	3	10247330	221595US0	1806	\$180.00	\$22,699.71
05/25	4	10247330	221595US0	1806	\$180.00	\$22,519.71
05/25	24	10722555	246061US0CONT	1253	-\$590.00	\$23,109.71
05/25	26	10722555	246061US0CONT	1253	\$80.00	\$23,029.71
05/25	35	10230150	224444US6YA	1201	-\$400.00	\$23,429.71
05/25	37	10307318	231333US3	1253	-\$1,020.00	\$24,449.71

Due Date December 18,  
2004

G OSMM&N File No. 263117US90PCT

By MM/lpp/FF

Serial No. New U.S. PCT Application based on PCT/JP03/07638

In the matter of the Application of Hideaki MANAKA  
For UNIT-TYPE HEAT EXCHANGER

The following has been received in the U.S. Patent Office on the date stamped hereon:

- Combined Declaration, Petition & Power of Attorney (2 pages)
- Application Data Sheet
- Notice of Priority (2)
- Dep. Acct. Order Form
- Credit Card Payment Form for \$1,910.00
- PCT Transmittal Letter
- PCT/IB/304
- PCT/IB/308
- International Preliminary Examination Report
- Information Disclosure Statement
- PTO-1449
- Cited References (4)
- International Search Report

SERIAL NO. 10/516933

DATE RECEIVED Rec'd PCT/PTO 14 DEC 2004

FORM PTO-1390 (Modified) (REV. 07-2004)		U.S. PATENT AND TRADE MARK OFFICE; U.S. DEPARTMENT OF COMMERCE		ATT. BY'S DOCKET NUMBER <b>263117US90PCT</b>
<b>TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A SUBMISSION UNDER 35 U.S.C. 371</b>				U.S. APPLICATION NO. (If known, see 37 CFR 1.5)
INTERNATIONAL APPLICATION NO. <b>PCT/JP03/07638</b>	INTERNATIONAL FILING DATE <b>17 June 2003</b>		PRIORITY DATE CLAIMED <b>18 June 2002 (earliest)</b>	
TITLE OF INVENTION <b>UNIT-TYPE HEAT EXCHANGER</b>				
APPLICANT(S) FOR DO/EO/US <b>Hideaki MANAKA</b>				
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:				
<ol style="list-style-type: none"> <li><input checked="" type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a submission under 35 U.S.C. 371.</li> <li><input type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a submission under 35 U.S.C. 371.</li> <li><input checked="" type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (24) indicated below.</li> <li><input checked="" type="checkbox"/> The US has been elected (Article 31).</li> <li><input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371 (c) (2))             <ol style="list-style-type: none"> <li><input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau).</li> <li><input checked="" type="checkbox"/> has been communicated by the International Bureau.</li> <li><input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</li> </ol> </li> <li><input type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).             <ol style="list-style-type: none"> <li><input type="checkbox"/> is attached hereto.</li> <li><input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4).</li> </ol> </li> <li><input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))             <ol style="list-style-type: none"> <li><input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau).</li> <li><input type="checkbox"/> have been communicated by the International Bureau.</li> <li><input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</li> <li><input checked="" type="checkbox"/> have not been made and will not be made.</li> </ol> </li> <li><input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).</li> <li><input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).</li> <li><input type="checkbox"/> An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).</li> <li><input checked="" type="checkbox"/> A copy of the International Preliminary Examination Report (PCT/IPEA/409).</li> <li><input checked="" type="checkbox"/> A copy of the International Search Report (PCT/ISA/210).</li> </ol>				
<p><b>Items 13 to 23 below concern document(s) or information included:</b></p> <ol style="list-style-type: none"> <li><input checked="" type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.</li> <li><input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</li> <li><input type="checkbox"/> A <b>FIRST</b> preliminary amendment.</li> <li><input type="checkbox"/> A <b>SECOND</b> or <b>SUBSEQUENT</b> preliminary amendment.</li> <li><input type="checkbox"/> A substitute specification.</li> <li><input type="checkbox"/> A power of attorney and/or change of address letter.</li> <li><input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.</li> <li><input type="checkbox"/> A second copy of the published International Application under 35 U.S.C. 154(d)(4).</li> <li><input type="checkbox"/> A second copy of the English language translation of the International Application under 35 U.S.C. 154(d)(4).</li> <li><input type="checkbox"/> Express Mail Label No.</li> <li><input checked="" type="checkbox"/> Other items or information:</li> </ol>				
<p><b>Application Data Sheet/Notice of Priority (2)/PCT/IB/304/PCT/IB/308/PTO-1449/Cited References (4)</b></p>				

U.S. APPLICATION NO (if known, see 37 CFR 1.492(e))	INTERNATIONAL APPLICATION NO. PCT/JP03/07638	ATTORNEY'S DOCKET NUMBER 263117US90PCT																
24. The following fees are submitted:		<b>CALCULATIONS PTO USE ONLY</b>																
<b>BASIC NATIONAL FEE (37 CFR 1.492(a)(1)-(5)) :</b>																		
<input type="checkbox"/> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO ..... \$1110.00 <input checked="" type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO ..... \$950.00 <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... \$790.00 <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) ..... \$750.00 <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) ..... \$100.00																		
<b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b>		\$1,000.00																
Surcharge of \$130.00 for furnishing the oath or declaration later than months from the earliest claimed priority date (37 CFR 1.492(e)).		□ 20    □ 30    \$0.00																
<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 25%;">CLAIMS</th> <th style="width: 25%;">NUMBER FILED</th> <th style="width: 25%;">NUMBER EXTRA</th> <th style="width: 25%;">RATE</th> </tr> </thead> <tbody> <tr> <td>Total claims</td> <td>31 - 20 =</td> <td>11</td> <td>x \$50.00    \$550.00</td> </tr> <tr> <td>Independent claims</td> <td>1 - 3 =</td> <td>0</td> <td>x \$200.00    \$0.00</td> </tr> <tr> <td colspan="3">Multiple Dependent Claims (check if applicable).</td> <td style="text-align: center;"><input checked="" type="checkbox"/> \$360.00</td> </tr> </tbody> </table>		CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	Total claims	31 - 20 =	11	x \$50.00    \$550.00	Independent claims	1 - 3 =	0	x \$200.00    \$0.00	Multiple Dependent Claims (check if applicable).			<input checked="" type="checkbox"/> \$360.00	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE															
Total claims	31 - 20 =	11	x \$50.00    \$550.00															
Independent claims	1 - 3 =	0	x \$200.00    \$0.00															
Multiple Dependent Claims (check if applicable).			<input checked="" type="checkbox"/> \$360.00															
<b>TOTAL OF ABOVE CALCULATIONS =</b>		\$1,910.00																
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.		\$0.00																
<b>SUBTOTAL =</b>		\$1,910.00																
Processing fee of \$130.00 for furnishing the English translation later than months from the earliest claimed priority date (37 CFR 1.492(f)).		□ 20    □ 30    + \$0.00																
<b>TOTAL NATIONAL FEE =</b>		\$1,910.00																
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable).		<input type="checkbox"/> \$0.00																
<b>TOTAL FEES ENCLOSED =</b>		\$1,910.00																
		Amount to be: refunded    \$ charged    \$																
<p>a. <input type="checkbox"/> A check in the amount of _____ to cover the above fees is enclosed.</p> <p>b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of _____ to cover the above fees.</p> <p>c. <input checked="" type="checkbox"/> The Director is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>15-0030</u></p> <p>d. <input checked="" type="checkbox"/> Fees are to be charged to a credit card. <b>WARNING: Information on this form may become public. Credit card information should not be included on this form.</b> Provide credit card information and authorization on PTO-2038.</p>																		
NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.																		
SEND ALL CORRESPONDENCE TO:																		
_____ <b>SIGNATURE</b>																		
_____ <b>Masayasu Mori</b>																		
_____ <b>NAME</b>																		
_____ <b>47,301</b>																		
_____ <b>REGISTRATION NUMBER</b>																		
_____ <b>DATE</b>																		

**United States Patent & Trademark Office**  
**Credit Card Payment Form**

**Credit Card Information**

**Credit Card Type:**  American Express

Credit Card Account #: [REDACTED]

Credit Card Expiration Date: December 31, 2005

Name as it Appears on Credit Card: Prue, LaYonda P.

Payment Amount: \$(US Dollars): 1,910.00

Signature:

Date: December 14, 2004

**Credit Card Billing Address**

Street Address 1: Oblon, Spivak, McClelland, Maier & Neustadt, P.C.

Street Address 2: 1940 Duke Street

City: Alexandria

State: Virginia

Zip/Postal Code: 22314

Country: U.S.A.

Daytime Phone #: (703) 413-3000 Accounting Dept.

Fax #: (703) 413-2220

**Request and Payment Information**

Description of Request and Payment Information:

New U.S. PCT Application

Application No.:

Patent/Registration No.:

Docket No.: 263117US

*If the cardholder includes a credit card number on any form or document other than the Credit Card Payment Form, the United States Patent & Trademark Office will not be liable in the event that the credit card number becomes public knowledge.*

Form #: 25444